



JC01 Rec'd PCT/PTO 02 SEP 2005

P07

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: **Elger FUNDA, ET AL.**

International Application No. PCT/EP2003/010974

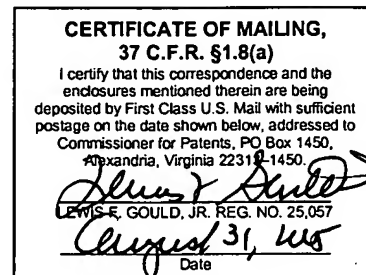
International Filing Date: 02/OCTOBER/2003

Serial No.: 10/530,167

Filed: 04/APRIL/2005

**Title: MODIFIED LUPIN PROTEINS FOR THE
PREPARATION OF WATER DISPERSIBLE PRODUCT
FORMS OF FAT SOLUBLE COMPOUNDS**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450



INFORMATION DISCLOSURE STATEMENT
TRANSMITTAL LETTER

Sir:

Enclosed herewith is a Supplemental Information Disclosure Statement pursuant to 37 CFR. §1.56 in connection with the above-identified application, which statement is being filed:

☐ Together with the present application.

☒ Before the first Office Action on the merits or three (3) months from the filing date of this application, whichever occurs last. **[37 CFR § 1.97(b)]**

☐ After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. **[37 CFR §1.97(c)]**. (*Either the fee or certification is provided, as set forth below*).

☐ After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. **[37 CFR §1.97(d)]**. (*The fee and certification are provided, as set forth below*).

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

☒ No separate requirements are needed.

☒ No additional fee is required.

Fee Under 37 CFR § 1.97(c) or 1.97(d)

☐ The fee of \$180.00 for submission of an IDS under §1.97(c) as set forth in §1.17(p) accompanies this statement.

Certification Under 37 CFR § 1.97(e)

The undersigned certifies:

☐ that each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

Provision of Copies of References

☒ A copy of each of the references (or English Abstract of each reference) listed on the attached Form PTO/SB/08b, is enclosed herewith and forms a part hereof.

☐ Pursuant to the order of the Deputy Commissioner dated July 11, 2003, copies of the U.S. references are not enclosed.

☐ A translation of Reference _____ is enclosed herewith and forms a part hereof.

☐ A copy of the European Office Action from the corresponding or related European application is enclosed herewith.

☒ A copy of the International Search Reports from corresponding or related PCT application, namely, PCT/EP2003/010974, is enclosed herewith.

Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted

☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior U.S. Application No(s) _____, filed _____. The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore are not required to be provided in this application:

[X] The Commissioner is hereby authorized to charge any fees associated with this communication or credit any overpayment to Deposit Account No. 04-1679.

Respectfully submitted,

Date: _____

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Docket No. D4695-0129

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of
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Application Number	10/530167
Filing Date	04/APRIL/2005
First Named Inventor	E.FUNDA, ET AL.
Art Unit	
Examiner Name	not yet known
Attorney Docket Number	D4695-00129

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	MM-DD-YYYY			
		EP 0859553A	08/26/1998	FINANZCONSUL AG	COL.7,4,11,12; Cl. 5	
		DE 100 6443A 434A	07/11/2002	WOLFGANG	ALL	
		EP 1219292A	07/03/2002	BASF AG	ALL	
		EP1106174A .	08/25/1999	HOFFMAN LA ROCHE	ALL	
		EP0347751A	12/27/1989	HOFFMAN LA ROCHE	ALL	
		EP0937412A	08/25/1999	HOFFMAN LA ROCHE	CLAIMS 1-11	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known

Application Number	10/530167
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First Named Inventor	FUNDA ET AL.
Art Unit	not yet known
Examiner Name	not yet known
Attorney Docket Number	D4695-0129

Sheet	2	of	3
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[illegible]

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)				
		WO99 51106	10/14/1999	BUTTIMER	P.9,14-23;cl.1-5.	
		WO0219836A	03/14/2002			

**Examiner
Signature**

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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